FFG

First Call

Guide for drafting applications for funding in the context of K-Projects

Vienna, 1 October 2006

Up dated: 1 February 2007

COMET

Competence Centers for Excellent Technologies

INTRODUCTION

The COMET guide (GDA) contains important information on drafting applications for funding and is supplemental to the ***COMET programme document for the new competence centres programme*** **("Programme document")** and *to the* ***federal guidelines for the funding of scientific and technological research and technological development*** **("FTE guidelines")**. This guide refers solely to the present call.

Synopsis of guidelines and regulations relevant to the call:

1. EU legislation in the field of state aid
2. FTE guidelines
3. Programme document
4. Evaluation concept
5. Guide for drafting applications for funding
6. COMET-Application forms (word,excel, eCall)

Specifications and references to EU legislation in the field of state aid are contained in the FTE guidelines. Relevant documents are also available at http://eur-lex.europa.eu "The Access to European Union Law" and at http://ec.europa.eu/comm/competition/index_de.html "State Aid".

The documents cited above are available for downloading from the website of the Austrian Research Promotion Agency (FFG).

www.ffg.at see Förderungen/Strukturprogramme/COMET

Programme-specific guidelines may limit but not invalidate regulations from a higher level (EU legislation, federal legislation).

The documents listed above explain most regulations in detail, rendering repetition in the GDA redundant. The GDA may, however, provide information on where to find information regarding the respective points.

COMET funding is awarded in the context of three programme lines:

- K-Projects
- K1-Centres
- K2-Centres

The application for funding and the selection of K-Projects takes place in a single-stage procedure.

The selection of K1 and K2-Centres is based on a two-stage procedure. Short applications are submitted for evaluation at the first stage. After assessment, a panel will recommend which applicants should be invited to submit full applications (stage 2 of proceedings, cf. Programme document, Section V).

The information relevant for both K1 and K2-Centres is contained in one guideline document for short applications and full applications. A separate guideline document is available for K-Projects.

Structure of the GDA
General information
Notes on Part A – Application / Project Content: Instructions for completing applications (Word document)
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GENERAL INFORMATION

1. Submission

1.1 Form of Submission

Applicants are required to submit identical versions of the application **online (eCall)** and in **hardcopy**.

The application consists of four parts:

- Core and project data entered in **eCall**,
- Part A –**Application / Project Content**,
- Part B –**Application / Tables**,
- and Application / **Annex**

Application forms for part A (Word document) and part B (Excel document) and forms for the Annex are available on the website of the Austrian Research Promotion Agency (FFG) at www.ffg.at before registration in eCall. Applicants may complete the forms remotely and afterwards deposit them in the eCall system as an upload.

1.2 Online Application (eCall)

To submit an online application, please register via the link https://ecall.ffg.at and follow the instructions in eCall. An application will only be considered complete if all necessary forms are also submitted/dispatched in hardcopy before the end of the application deadline.

Please be sure to review the data required for submitting an application and familiarise yourself with the eCall system as soon as possible. In the event of technical problems which may be due to faulty browser configurations, please contact us as quickly as possible.

Please enter the scientific discipline relevant to your application as early as possible.

For your hardcopy application, please print out your core data of the consortium leader and project data from eCall and enter them in the order specified in General Information, Section 1.5.

Partner application

All participating partners of the consortium will receive invitations by e-mail from the consortium leader to apply for funding together with the necessary data (application ID and identification code). Participating partners are also required to register via the link https://ecall.ffg.at and to complete the partner application form for the relevant application

For further procedures, please read "Help for partner applications" on the eCall starting page. The consortium leader may only submit the complete application for funding if the participating partners have submitted their partner applications.

Please note: A printout of the partner applications (including the partner's core data) is NOT required. To insure protection of confidential data only FFG can access these data.

1.3 Submission of applications and number of copies to be submitted

Applications are to be submitted to the Austrian Research Promotion Agency (FFG) as follows:

- Online via eCall
- 1 loose-leaf version with original signatures (marked as "ORIGINAL", one-sided hardcopy)
- 10 bound versions (marked as "COPY")

Submission of applications

In order to ensure that we file your application correctly, please state the application ID from eCall below the address of the Austrian Research Promotion Agency (FFG), as indicated in the box below.

FFG (Austrian Research Promotion Agency) Structural Programmes: Ms. Christina Bergmeister Sensengasse 1 (3rd floor), A-1090 Vienna, AUSTRIA Application ID according to eCall (see cover page application)

Applicants must clear their applications with the Austrian federal provinces before submission. (A) declaration(s) of the relevant province(s) constitute(s) part of the application (cf. GDA General Information, Section 3.1) and applicants need to submit a duplicate of their application to the appropriate agency of the relevant province, respectively the relevant provinces, in line with conditions specified.

1.4 Submission deadlines and time schedule

Applications must be received by the FFG (Austrian Research Promotion Agency) by **Friday, 27 April 2007 at 12:00 at the latest.** It is the applicants' responsibility to ensure that applications are received by this deadline. The date the application was postmarked is INsufficient. The late submission of individual parts of applications is not permissible. For online submission, the same conditions and deadlines apply.

Overview of key dates

Call opens	1 October 2006
Submission deadline for K-Projects (hardcopy and online)	27 April 2007
Decision Panel 2	27-28 September 2007
Contract negotiations	from October 2007
Planned launch of K-Projects	1 January 2008

Please read the evaluation concept and Section V of the Programme document for details on evaluation procedures at this stage.

1.5 Formal criteria

In order for the FFG to consider applications, it is essential that applicants adhere to the preset structure of the application and to the formal criteria when completing applications.

Language: English

Font Size: 11 pt

Line spacing: 1.3

Maximum number of pages Part A: maximum of 100 pages in format A4, excluding Annex

While applications must not exceed the maximum number of pages stipulated above, there is no reason why they may not be shorter. We also ask applicants to draft applications in a way that will enable the international experts in charge of the appraisal procedure to recognise the benefits offered by your K-Project.

Pagination: The pages of Part A of the application must be numbered and a table of contents indicating the page numbers must be included in the application (cf. GDA, Part A).

Signatures: The legally binding signature of the consortium leader must be submitted on the cover pages of 1) the eCall print-out, 2) Part A and 3) Part B of the original loose-leaf version of the application (three signatures in total).

Documents: All documents with original signatures must be included in the original application. The documents should be scanned in for online application and deposited as a PDF file in eCall under "Further project data/Uploads".

Funding period: The duration of funding corresponds to the total funding period. The project duration to be applied for is 3/3,5/4/4,5 or 5 years.

The contract for funding will be concluded for the total duration of the funding period.

Overview: Structure of the application for funding (hardcopy)

Print-out eCall (Submitted application "Print Layout View")	Print out of core data of the leader of consortium and project data from eCall, legally binding signature on cover page. A print out of partner applications is not required.
Application / Project Content (Part A)	Completed application form (PDF)
Application / Tables (Part B)	Completed application form (Excel)
Annex	Required annexes see GDA " Notes on the grant application annex"

Overview: Scope of applications

Programme line	K-Project	Scope
AREAS	3 maximum	10 pages per area max.
Projects	10/Area maximum	1 page per project

The planned research programme can be subdivided into several Areas within a K- Project (not obligatory). Where circumstances are justified the number of maximum projects can be extended.

2. Applicants

Applicants are consortia with at least one Scientific Partner (SP) and at least 3 (three) Company Partners (CP). The required **"multi-firm" criterion** must be fulfilled.

The partner authorised by the other consortium members to act as the consortium leader is responsible for submitting the application. The participation of all participating partners of the consortium must be established by the inclusion of a signed "of a "Letter of Commitment" (LOC, including financial contributions) from all participating partners (see Annex). Furthermore, a responsible project manager needs to be identified to the Austrian Research Promotion Agency (FFG) as a contact person for the application process.

2.1 Scientific Partners (SP)

Scientific Partners in the context of the programme for competence centres include universities, “Fachhochschulen” (specialised colleges), and non-university research establishments in Austria and abroad.

If within one University several institutes or research establishments without partial legal autonomy are involved, they will be registered as separate partners. Letter of Commitment (LOC cf. Annex must be signed by the authorised signatory of the university (normally the "Rector"/head of the university) as well as by the project manager, respectively the responsible head of department.

The accumulated financial contribution by the Scientific Partner to a K-Project is at least 5% of the respective funding period, 100% of which may be procured in-kind (non-cash contributions or human resources) (cf. GDA, General Information, Section 6 and Programme document, Section II.4.2).

2.2 Company Partners (CP)

Company Partners include companies active in trade and industry in Austria and abroad.

Non-departmental public bodies are also permissible, in as much as they can prove that there is a specific demand for research work from the project. The contributions from the company partners must be privately funded.

It is a basic rule that Company Partners must not provide undirected co-financing within the context of a basic subsidy. Companies must ensure that involvement in a K-Project results in an increase and not a decrease in their own research efforts (additionality).

Regulations regarding financial contributions to K-Projects by Company Partners are itemised in the Programme document, Section II.4.2, and under General Information, Section 6 of this document. The amount of the contribution depends on the amount of funding and accounts for at least 50% of total eligible costs in the respective funding period.

3. Participation of Austrian provinces

The provinces have undertaken to support the COMET programme for competence centres by furnishing additional provincial funds in association with or separately from federal funds.

The inclusion of a **declaration of** each relevant province in the application for K-Project is mandatory (cf. Sections 3.1d and 3.1e, and Section 3.2).

3.1 Provincial funding in association with federal funding

With regard to the distribution of provincial funding, all provinces with the exception of Vienna have tied themselves to the federal guidelines at **a set participation ratio of 2:1** (2 parts federal funding, 1 part provincial funding).

a) The Republic of Austria has set funding ceilings per K-Project per year for federal funding (cf. Programme document, Section II.4.2). However, the basis of eligible costs may be extended, depending on the additional share of provincial funding. The 2:1 participation ratio of federal government and the provinces also applies in the case of a lower application volume.

b) The quota of provincial funding may not be exceeded in the K-project However, provinces may independently fund additional projects at any time.

c) The total share of provincial funding may also be divided among several provinces.

d) Applicants are required to enclose one **declaration of the province where the K-Project is headquartered or the project leader is situated)** and of all further co-financing provinces. As a rule, the declaration is a reference letter enclosed with the Annexes, of the proposal in which the respective province expresses its commitment to fund the K-Project in the event of a positive funding decision, and states its funding contribution. The declaration must always cover the full amount of provincial funding.

e) In individual cases a province may also declare its non-involvement in a K-Project in the event of incompatibility with the interests of the province. In such cases, the Republic of Austria reserves the right to reduce federal funding by the volume of funding provided by the respective province. Applicants are advised to consult the relevant contact persons in the provinces for clearance at an early date.

f) The Austrian Research Promotion Agency (FFG) is responsible for reporting, controlling, and evaluating K-Projects with regard to both federal and provincial funding. Provinces may accept the results of the evaluation carried out for the Republic of Austria, but may also perform evaluations of their own.

Example of funding for a -K-Project

The example below assumes total eligible costs of € 1,46 million for **one** year of funding and public funding of 41%. (exkl. SP).

The underlying **participation ratio is 2:1** (2 parts federal funding, 1 part provincial funding).

According to the Programme document, the maximum amount of federal funding for K-Projects is € 0,45 million per year.

Total eligible costs	**1,46**	million Euro	100,00 %	
Federal funding	**0,40**	million Euro	27,33 %	41%
Provincial funding	**0,20**	million Euro	13,67 %	
Contributions of Scientific Partners (SP)	**0,07**	million Euro	5,00 %	
Contribution of Company Partners (CP)	**0,79**	million Euro	54,00 %	

	Federal (2)	**Provincial (1**	**Total** (million)
Public Funding	0,40	0,20	0,60
Contribution SP	0,05	0,02	0,07
Contribution CP	0,53	0,26	0,79
Total costs	0,98	0,49	**1,46**

Overview: Authorities in the provinces

Province	Contact
Burgenland	Wirtschaftsservice Burgenland AG (WiBAG) Technologiezentrum, 7000 Eisenstadt, AUSTRIA ***Mag. Sigrid Hajek*** Tel. 059010-2156, Fax 059010-2110 E-mail: sigrid.hajek@wibag.at
Carinthia	KWF Kärntner Wirtschaftsförderungs Fonds Heuplatz 2, A-9020 Klagenfurt, AUSTRIA ***Mag. Hans Schönegger*** Tel. 0463/ 55 800-0, Fax 0463/ 55 800-22 E-mail: office@kwf.at
Lower Austria	Tecnet Capital Bahnhofsplatz 10, A-3100 St. Pölten, AUSTRIA ***DI Kerstin Koren*** Tel. 02742/36544 – 202, Fax 02742/36544 - 400 E-mail: koren@tecnet.co.at
Upper Austria	OÖ. Technologie- und Marketinggesellschaft m.b.H Hafenstraße 47 – 51, A-4020 Linz, AUSTRIA

	Province: Upper Austria ***Mag. Gerlinde Pöchhacker*** Tel. 0732 - 79810 – 5063, Fax 0732 - 79810 - 5008 E-mail: gerlinde.poechhacker@tmg.at
Salzburg	Amt der Salzburger Landesregierung Abt. 15, Wirtschafts- und Technologieförderung Südtiroler Platz 11, A-5020 Salzburg, AUSTRIA ***Mag. Heinz Maier*** Tel. 0662/8042-3803; Fax 0662/8042-763803 E-mail: heinz.maier@salzburg.gv.at
Styria	1.) Amt der Steiermärkischen Landesregierung, Abteilung 3 - Wissenschaft und Forschung Trauttmansdorffgasse 2, A-8010 Graz, AUSTRIA ***Mag. Alexandra Nagl*** Tel. 0316/877-5438, Fax 0316/877-3998 E-mail: alexandra.nagl@stmk.gv.at 2.) Steirische Wirtschaftsförderungsgesellschaft mbH Nikolaiplatz 2, A-8020 Graz, AUSTRIA ***MMag. Dr. Hans-Jörg Hörmann*** Tel. 0316/7093-217, Fax 0316/7093-95 E-mail: hans-joerg.hoermann@sfg.at **Note: Please contact both agencies!**
Tyrol	Tiroler Zukunftsstiftung Kaiserjägerstraße 4a, A-6020 Innsbruck, AUSTRIA ***Philipp Unterholzner*** Tel. 0512 576262-0, Fax 0512 576262-10 E-mail: office@zukunftsstiftung.at
Vorarlberg	Amt der Vorarlberger Landesregierung Abteilung Allgemeine Wirtschaftsangelegenheiten ***Mag. Karlheinz Rüdisser*** Landhaus , A- 6901 Bregenz, AUSTRIA Tel. 05574-511-26110, Fax 05574-511-926195 E-mail karlheinz.ruedisser@vorarlberg.at

Consulting the relevant contact persons in the provinces for clearance in good time is the sole responsibility of applicants.

3.2 Provincial funding independent of federal funding

Vienna has undertaken to provide funding for the COMET programme for competence centres.

With it's Programme ‚Vienna spots of Excellence' Vienna has set up a funding programme in 2005 that focuses just like K-Projects on scientifically ambitious long term cooperation between science and industry.

Therefore Vienna does not provide additional funding for K-Projects within COMET.

Never the less K-Projects as well as individual partners of the consortium are eligible to apply for funding within the funding programmes of the ZIT (Zentrum für Innovation und Technologie GmbH) for research projects and activities before or after research and development that are carried out in Vienna.

Further information concerning the City of Vienna's funding programmes is available on the ZIT website www.zit.co.at.

Province	Contact
Vienna	ZIT Zentrum für Innovation und Technologie GmbH Ebendorferstraße 4, A-1010 Vienna, AUSTRIA ***Mag. Eva Czernohorszky*** Tel. +43 1 96090 86931; Fax +43 1 96090 86587 E-mail czernohorszky@zit.co.at

For the proposal a declaration of the province of Vienna (ZIT) is not required.

4. Evaluation

4.1 Procedure

The evaluation procedure is outlined in the Programme document, Section V, and in the Evaluation concept.

4.2 Evaluation criteria

Applications are evaluated by international experts according to criteria defined in Section II.6 of the Programme document and Section 2.1 of the Evaluation concept. If the K-Project consists of several areas they are evaluated separately.

Overview: Ex-ante criteria

	General criteria for K-projects
	1. Research programme defined jointly by science and industry with medium to long-term perspective
	2. Research competence and connection to science
	3. Relevance of implementation in industry
	4. Quality of collaboration between science and industry, coherence and quality of consortium
	5. Management and implementation

for the relevant questions to the individual criteria see Section II.6 of Programme document or evaluation concept

4.3 Target values of K-Projects

In applications applicants must state target values for each K-Project. Appraisal by international experts within the scope of ex-ante evaluations will determine the degree to which these target values are feasible and realistic in the context of the field and environment in which research is to be carried out. For the purpose of a review, a target-performance comparison will be carried out, which will in turn be subject to evaluation by international experts (see Section A7, Section 2.2.2. in the Evaluation concept, respectively).

5. Eligible costs

Eligible costs are limited exclusively to costs incurred in direct connection with the K-Project.

- Personnel costs (researchers, technicians, and auxiliary staff employed exclusively in research)
- Costs for instruments and equipment (research facilities, laboratories, and pilot plant stations used exclusively and permanently for research activities (except in cases where facilities are handed over for commercial use))
- Costs of consultancy services and similar services used solely in connection with research activities, including externally procured research, technological expertise, patents, etc.
- Additional overheads incurred directly in connection with the research activity
- Other operating costs (such as materials, supplies, etc.) incurred directly in connection with the research activity

Eligible costs are all expenses and expenditures actually and directly incurred by the K-project in addition to regular operating costs throughout the duration of the funded research activity

Investments

Depreciation of investments can only be claimed for the duration of funding according to the yearly allowance for depreciation

Personnel Costs

Concerning maximum eligible personnel costs information is provided in the "FTE guidelines", section 3.3. as well as in the subsidiary General Guidelines (Allgemeine Rahmenrichtlinien, ARR 2004), § 21 (2), Z 9.

Personnel costs are eligible for funding to the extent stipulated by the respective reference values in clause 8 of the "Regulation of the Federal Ministry of Finance Regarding Guidelines for the Calculation and Presentation of the Financial Effects of New, Legislative Measures" (Federal Law Gazette (BGBl.) II No. 50/1999, appendix 3, as amended). The current maximum amounts for personnel costs (status quo 2005) are set out in the table below which should facilitate classification (to exemplify).

Funding international excellence might make it necessary to exceed the maximum personnel costs.

Where circumstances are extremely well justified (e.g. standard international payment for specific expertise) the maximum personnel costs can be extended.

Hiearchical levels acc. to function	Examples of functions	Equivalence/classification acc. To Austrian public service	Annual personnel costs (Gross inc. NWLC)	Hours/year
Scientific staff (*)				
1st executive level (I)	Scientific director	VB-HL-Höh. Dienst**1	104.277	1680
2nd executive level (H)	director, Area Director etc.	VB-HL-Höh. Dienst 2	90.235	1680
Key Scientist (G)	Key Researcher	VB-HL-Höh. Dienst 1	104.277	1680
Senior Scientist (F)	Senior Researcher	VB-HL-Höh. Dienst 2	90.235	1680
Junior Scientist (E)	Junior Researcher	VB-HL-Höh. Dienst 3	76.192	1680
Graduate students	Junior Researcher	VB-HL-Höh. Dienst 3	76.192	1680
Administrative staff				
1st executive level (I)	Management	VB-HL-Höh. Dienst 1	104.277	1680
2nd executive level (H)	Assistant Manager	VB-HL-Höh. Dienst 2	90.235	1680
Key Administration (G)	Controlling	VB-HL-Höh. Dienst 1	104.277	1680
Senior Administration (F)	Assistants	VB-VD-Gehob. Dienst***1	40.207	1680
Junior Administration (E)	Secretarial Staff	VB-VD-Gehob. Dienst 2	40.207	1680
Technicians/specialists	Technician	VB-VD-Gehob. Dienst 1	40.207	1680

*) Letters (E, F, G, H, I) correspond to the classifications in the gender booklet

**) VB= Vetragsbedienstete(r) = 'contract public employee' in high-grade service (employment relationships in the Austrian civil service)

***) 'Contract public employee in upper grade service (employment relationships in the Austrian civil service)

For appraisal of personnel ratings, overhead costs may be added at a flat rate of 20%; in cases where overhead costs exceed 20%, the basis upon which the overhead costs were calculated must be disclosed and the calculation for overheads must be included.

Value-added tax (VAT):

As a rule, the VAT payable on eligible costs does not qualify for funding. However, upon provision of sufficient proof that the expense of such VAT is actually and ultimately borne by the recipient and that he or she is not eligible for input tax deduction, VAT costs may qualify for funding.

Non-eligible costs:

- Costs for the purchase of real estate and immovable property
- Building investments, investments in manufacturing and production facilities
- Costs which are not directly related to the funded project
- Costs incurred before the full application for funding was submitted
- Costs which are not eligible for funding under EU regulations

Bilateral research co-operations ("single firm" projects) are to be limited to a maximum of 20% of eligible costs.

6. Funding

6.1 Activities eligible for funding

Only the following activities in contexts ranging from applied basic research to pre-competitive development are eligible for funding:

a) Activities in the field of industrial research

b) Activities in the field of pre-competitive development

c) Activities in the field of basic research linked to activities listed under points a) and b)

d) Training measures linked to activities listed under points a) and b)

e) Technological feasibility studies

For a closer definition of terms, cf. FTE guidelines, Section 2.3.

In accordance with EU legislation on state aid, no funding will be granted for projects close to the market which could lead to a distortion of competition.

Bilateral research co-operations ("single firm" projects) are to be limited to a maximum of 20% of eligible costs.

For eligible costs, cf. GDA, Section 5, "Eligible costs".

6.2 Public funding

Determining the quota of public funding for a K-Project.

The quota of public funding within the funding margins laid down for a K-Project is based on the individual composition of each project and applies for the duration of the respective funding period.

The **funding margins** for public funding range from (cf. Programme document, Section II.4.2):

35-45% of total eligible costs (40-50% inc. SP)

Pursuant to EU regulations on state aid, the share contributed by the Scientific Partners (at least 5% acc. to Programme document, Section II.4.2) must be added to the quota of public funding since this share is also publicly funded. Thus, **total public funding** comprises public funding plus the share contributed by the Scientific Partners. For technical reasons, this share is itemised separately.

K-Projects with a focus on basic research receive a higher percentage of funding within the funding margins per programme line than those K-Projects focusing on applied research.

Applicants are required to include their personal evaluation of the proposed project and to indicate the quota of total public funding for the K-Project within the funding margins. If the K- Project consists of several areas applicants are required to indicate a funding quota per area and to base the quota of total public funding for the K-Project on this figures.

The final funding quota for the K- Project will be determined within the scope of ex-ante evaluation.

EU regulations on state aid

Current EU regulations on state aid are also relevant for determining funding quotas. The funding intensity for state research and development aid as defined by the EU Community framework applies to activities eligible for funding outlined in Section 5.1. (further information cf. FTE guidelines).

Level of federal funding and provincial funding

Besides the admissible funding quotas, applicants also need to consider the funding ceilings applicable to each programme line.

Funding ceilings constitute maximum amounts and must not be fully utilised.

The Republic of Austria has set a funding ceiling per K-Project per year (cf. Programme document, Section II.4.2): Maximum level of € 0,45 million per year

As a rule, the percentages of provincial funding provided in association with federal funding amount to half the percentage of federal funding (cf. General Information in the GDA, Section 3.1, and examples of funding).

In cases where several provinces are involved in a K-Project, the entire percentage of provincial funding is divided equally among all the provinces involved.

6.3 Contributions Provided by Scientific Partners

The accumulated share of total eligible costs of Scientific Partners must be at least 5 % and may not be substituted by contributions of Company Partners. Contributions may be made in-kind up to 100%.

If existing Competence Centres are participating as Scientific Partners, contributions must originate from the Non-K-area of the Centre.

6.4 Contributions Provided by Company Partners

The accumulated shares of Company Partners are at least 50 % of total eligible costs

Company Partners in K-Projects may furnish contributions in cash or in-kind. The accumulated share of cash contributions must be in excess of 50% of total company contributions. Please indicate exact break down of company contributions.

Defined quotas for company contributions apply to the entire K-Project. Company contributions may also be broken down individually.

6.5 Valuation of contributions in-kind

Valuations of in-kind contributions are set by the K-Projects themselves if there are no points of reference (i.e. personnel costs), (cf. GDA, Section 5, “Eligible costs").

7. Information

A list of FAQ (frequently asked questions) which is regularly updated is available on our website.

Should you have any questions, please contact one of the following members of staff at the Austrian Research Promotion Agency (FFG):

For information on the programme:

Otto Starzer:	otto.starzer@ffg.at, 057755/2101
Ingrid Fleischhacker:	ingrid.fleischhacker@ffg.at, 057755/2102
Barbara Kunz:	barbara.kunz@ffg.at, 057755/2103
Budiono Nguyen:	budiono.nguyen@ffg.at, 057755/2104
Anna Tropper:	anna.tropper@ffg.at, 057755/2106

For information on controlling:

Andreas Herrmann:	andreas.herrmann@ffg.at, 057755/2601
Christa Meyer:	christa.meyer@ffg.at, 057755/2604
Martina Amon:	martina.amon@ffg.at, 057755/2602
Martina Daschl:	martina.daschl@ffg.at, 057755/2603

NOTES ON THE APPLICATION – PROJECT CONTENT (Part A)

[Information and assistance for completing the Word document]

The application form "Part A –Application / Project Content" (Word) is available for download from the website of the Austrian Research Promotion Agency (FFG) under "Förderungen→ Strukturprogramme→ COMET". Please complete the form externally and deposit it as a PDF file in eCall under "Further project data/Uploads".

A0 Executive Summary

Summarise the entire K-Project on no more than one page (A4 format).

A1 Table of Contents

Please update the table of contents for Part A after you have completed the template.

A2 Intention and Goals

Describe the prime objective of the K-Project and the motive and reasons for selecting a specific programme line "K-Project".

Why is this K-Project needed (in a domestic and international context), what is the additional value created by this K-Project?

A3 Research Programme

A3.1 Overall Research Programme

Central to each K-Project is a research programme defined jointly by science and industry and in which strategic "multi firm" projects (definitions of strategic projects, "multi firm" projects, cf. Glossary) play a crucial role. All programme lines are open with regard to fields and topics; however, an individual K-project must have a clearly defined theme.

Describe the research programme and discuss the following aspects:

- International state-of-the-art of the respective topic
- Objectives of the research programme
- Scientific and technological relevance and up-to-dateness
- Significant new scientific or technological findings
- Approaches and methods to reach the stated objectives
- Relevant scientific and technological development and future innovation potential
- Application-oriented processing and implementation of new findings
- Markets of the future with sustainable development potential
- Possible fields of application and marketability of expected results

Furthermore, please indicate why the K-Project (as opposed to individual projects) creates definite additional value through co-operation between science and industry and a joint strategic focus.

A3.2 Areas

An Area is defined as a methodically and thematically distinct unit in a research programme of a K-Project (definition, cf. Glossary). A subdivision in several areas is not compulsory.

The restriction of maximum 3 Areas has to be observed (maximum number does not have to be reached)

Please describe each Area (abstract) and fill in an "Area Sheet" for each Area (cf. Annex) and explain -if applicable- connections (links) between different areas.

Elaborate on the following aspects for each Area:

- Research programme of the Area
- Research competences of partners involved
- Quality of implementation
- Position of the Area in the K-Project
- Key researcher of the Area, Area Management

Each Area is sub-divided into projects. No Area may comprise more than 10 projects.

Complete a "Project Sheet" for each project (cf. Annex). For each project, please indicate the title and partners involved.

A3.3 Work Plan and Time Schedule of the Research Programme

Fill in the individual projects of the research projects in the bar graph, and indicate planned starting dates and finishing dates for each Area.

Please outline the most significant milestones of your research programme.

	Year 1				Year 2				Year 3				Year 4				Year 5			
Area 1	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Project 1.1	Start							End												
Project 1.2			Start													End				
Project 1.3				Start			End													
Project 1.4											Start									End
...																				
Area 2																				
Project 2.1									Start							End				
Project 2.2	Start					End														
Project 2.3					Start											End				
Project 2.4												Start						End		
...																				

A4 Co-operation between Science and Industry

A4.1 Consortium

In the points below, please outline the leader of the consortium and the participating partners of the consortium. [

Please include in the Annex the curriculum vitae (CVs) of the key individuals involved. CVs may include reference projects and publications (cf. Annex).

A4.1.1 Leader of Consortium

Please describe the leader of the consortium and its role and responsibility in the application phase of the K-Project

- Name and short description of the consortium leader

  Indicating core competences relevant for the K- Project (e.g. reference projects)
- Role of the consortium leader at the K-Project

  Indicating contribution of project content to the K-Project
- Expected utility from the K-Project
- Key individuals of the consortium leader

  Identify relevant individuals who will be actively involved in the K-Project

A4.1.2 Scientific Partners

Please complete the following points for all Scientific Partners for the K-Project and include a LOC per partner (see templates for annex)

- Name and brief description of partner

  Indicating core competences relevant to the K-Project (e.g. reference projects)
- Role of the partner at the K-Project

  Indicating contribution of project content to the K-Project
- Expected utility from the K-Project
- Key individuals of the partner

  Identify relevant individuals who will be actively involved in the K-Project

A4.1.3 Company Partners

Please complete the following points for all Company Partners for the K-Project and include a LOC per partner. (see templates for annex)

- Name and short description of partner

  Indicating core competences relevant to the K-Project
- Role of the partner at the K-Project

  Indicating contribution of project content to the K-Project
- Expected utility from the K-Project

  Indicating (potential) process and product innovations, which are to be initiated within the framework of the research programme and appraising their development into marketable products or new processes
- Key individuals of the partner

  Identify relevant individuals who will be actively involved in the K-Project

A4.1.4 Structure of Consortium

Give reasons for the composition of the entire consortium and of the group of Scientific Partners and Company Partners, giving special consideration to the following aspects.

- Complementarity of partners
- Utilisation of synergies
- Creation of additional value

A4.2 Associated Partners

Describe existing and planned domestic and international collaborations outside the consortium which are relevant to the realisation of the planned activities.

Associated partners may also be individual persons.

Completion of this section in your *short application is optional*.

- Name and short description of partner

  Indicating core competences relevant for the K-Project (e.g. reference projects)
- Role of the partner at the K-Project

  Indicating contribution of project content to the K-Project and

  reasons for choosing to cooperate with this partner outside the consortium
- Key individuals of the partner

  Identify relevant individuals who will be actively involved in the K-Project

A4.3 Related funded research projects

Please list in the synoptic table all projects in the consortium ongoing, applied for and concluded within the last three years, which receive(d) public funding and which have a close thematic connection to the funding proposal under consideration.

Indicate the respective funding agent and participating partners involved and, if applicable, indicate delimitation from the funding proposal under consideration.

Name of project	Content (in bullet points)	Funding by...	Involved cooperation partners	Duration from until

A5 Organisation and Management

A5.1 Organigram

Please draw up an organigram of the planned K-Project bearing in mind the following aspects and elaborate on the details of your diagram.

- Project management and central functions
- Areas

Please describe in detail central functions (as project management, scientific direction, Area management, key researchers).

A5.2 Location (s)

Describe the planned location of the K-Project (or the place where the project leader is situated) and indicate why you have chosen this location. If more than one location is planned, please state the reasons why.

A5.3 Legal Structure

K-Projects can apply as a consortium and can stay a consortium for the whole duration of funding. In case the application is approved a consortium agreement between all partners has to be set up.

Describe and give reasons for the type of legal structure you have chosen for your K-Project and explain why its governance structures are appropriate for the K-Project.

A5.4 Governance Structures

Describe the governance structures planned for the K-Project and discuss the following aspects:

- Project management
- Clear lines of decision-making and structures
- Decision regarding investments
- Mechanisms regulating the entry of new partners, respectively the admission of new projects
- Mechanisms for decision-making and conflict management
- Coordination among the institutions/companies involved
- Establishment and function of different committees (decision-making, tasks, objectives…)
- Scientific advisory committee

A5.5 Principles of Intellectual Property Rights

Please describe how you are planning to commercialise research results attained within the framework of the K-Project and refer to the commercialisation in the context of science and industry

A5.6 Work and Time Schedule of the K-Project

Describe the time schedule for the establishment of your K-Project, indicating intermediary results (milestones) which can be evaluated.

Descriptions of work and time schedules must be outlined in the scope of the research programme (Section 3.4).

A6 Costs and Finance

In this section, please describe in detail the tables (Excel) contained in Part B of the application.

Table 1 „Personnel costs (calculation)“

Table 2 „Total personnel costs“

Table 3 „Material costs“

Table 4 „Third party costs“

Table 5 „Funding by scientific partners“

Table 6 „Funding by company partners“

Table 7 „Costs & Funding“

Table „Calculation of hourly wage rates”“ (optional)

In addition, please discuss the following aspects:

- Appraisal of contributions in-kind
- Estimated quota of funding at the Area level and calculation (deduction)of the total quota at the K-Project level
- Calculation of personnel costs: Please follow the maximum personnel costs. Any deviation (see GDA, item 5 “eligible costs”) has to be well justified. The table “calculation of hourly wage rate” can be used as an assisting instrument.
- Method of calculating overheads
- If applicable, sources of provincial funding broken down according to the various provinces involved
- ~~If applicable, planned application (volume) in Vienna (Non-K-area)~~

A7 Target Values and Indicators

Central indicators must be outlined as target values for a K-Project. For each indicator, a target value which is appropriate and realistic in the context of the field of research must be chosen by the consortium for the funding period and stated in the list.

Central indicators as target values

List of Indicators (Objectives of K-Project)	Objectives
Publications in relevant journals • of which reviewed journals • of which co-publications science and industry	Indicate the total number over the course of the entire funding period.
Patents and **licensing**	Indicate the total number over the course of the entire funding period.
Share of **strategic research projects** in entire research programme	Percentage of eligible costs
Increase in the intensity of **research activities** by Company Partners	R&D expenditures (increase in % over the course of the entire funding period)
Dissertations/diploma theses within the scope of the research programme	Number of ongoing/completed dissertations / diploma theses (total over the course of the funding period)
Number of **Key Researchers**	Number (total over the course of the funding period)
Additional Scientific Partners and Company Partners planned (of consortium)	Number of partners during the funding period

Planned implementation at the companies

Summarise as target values, the (potential) process and product innovations indicated in Section A 4.1.3, which are to be initiated within the framework of the research programme and their development into marketable products or new processes.

NOTES ON THE APPLICATION - TABLES (Part B)

[Information and instructions for completing applications in the Excel Document]

The application form "Part B –Application / Tables" (Excel file) is available for download from the website of the Austrian Research Promotion Agency (FFG) at www.ffg.at. Please complete the form externally and, after registration, deposit it in eCall under "Further project data/Uploads" in Excel format. Please outline all costs and funding exclusively in the Excel document template (Part B – Application / Tables).

The tables in Part B contain an outline of the costs (K-area) of the planned K-Project and the funding provided by funding agents and partners.

In Part A –Application / Project Content, applicants are required to explain the tables in Section A6

.

Important note for completing Excel tables:

Do not overwrite or alter the formulas contained in the coloured cells.

If you use abbreviations please remember to explain them in Part A of the application.

1. The presentation of the costs and contributions must be consistent with Part A (Application/Project Content) of the K-Project.

2. The cells in the table are not closed and may be modified to suit the specific requirements of your project, however, you MUST note the following:
   - Do not overwrite the formulas contained in the coloured cells.
   - If the number of lines provided is insufficient, expand the table by inserting lines. Take care that the formula references include the newly inserted lines/cells!
   - The Total Costs table is linked to the detailed tables (Personnel, Material Costs and Third Party Costs). Please ensure that no changes are made to the formula references and that the figures shown on the Total Costs and Financing Tables Sheet are consistent with the detailed figures.

3. If you use abbreviations please remember to explain them in the full text.

Overview of Tables Pagination

Cover

1. Personnel costs (calculation)
2. Total personnel costs
3. Material costs
4. Third party costs
5. Funding by scientific partners
6. Funding by company partners
7. Costs & Funding

Cover

Please complete the Tables in full.

1. Personnel costs (calculation)

The personnel costs per partner of the Consortium must be itemised by individuals per year in Table "1. Personnel Costs" (calculation). In the "Function" column, enter, for example Project Manager, Project Worker etc. If the names of the individuals who will work on the project are known, please state in the column "Name." In the column "Partner" please state the name of the respective member of the consortium. When calculating the hourly rates, please bear in mind the maximum rates (see Guideline Section 5 "Funding") and possible salary increases.

2. Total personnel costs

The "Total Personnel Costs" table automatically calculates the personnel costs per partner and does not therefore need to be completed.

Personnel costs per partner and per year should be entered in the table "Personnel Costs per Partner." The column "Total" calculates itself automatically and does not therefore need to be completed.

3. Material costs

Table 3. "Material Costs" (see Guideline Section 5 "Funding") should contain a breakdown of material costs itemised by type of cost per partner per year. The column "Total Years 1-5" calculates itself automatically and does not therefore need to be completed.

The table "Material Costs per Partner" should contain a breakdown of material costs itemised by partner per year. The column "Total Years 1-5" calculates itself automatically and does not therefore need to be completed.

4. Third party costs

Table 4 "Third Party Costs" should contain a breakdown of third party costs itemised by the type of cost (see Guideline Section 5. "Funding") per partner per year. The column "Total Years 1-5" calculates itself automatically and does not therefore need to be completed.

The Table "Third Party Costs per Partner" should contain a breakdown of third party costs itemised by partner per year. The column "Total Years 1-5" calculates itself automatically and does not therefore need to be completed.

<u>Costs of associated partners</u>

The costs of the associated partners should be stated here. These costs must be attributed to a member of the consortium (= invoice recipient).

5. Funding by scientific partners

Funding should be itemised by scientific partner per year in Table 5 "Funding by scientific partners" The column "Total" calculates itself automatically and does not therefore need to be completed.

6. Funding by Company Partners

Funding should be itemised by company partner per year in Table 6 "Funding by Company Partners." The column "Total" calculates itself automatically and does not therefore need to be completed.

7. Costs & Funding

The coloured cells in the table calculate themselves automatically on the basis of the data contained in the other table sheets and do **not therefore need to be completed.** Please do not overwrite any formulas!

Costs and Funding:

1. Costs:

The section of the Table "1. Costs" including the sub-categories "a. Personnel Costs", "b. Material Costs", "c. Third Party Costs" and "Total Costs" must **not be completed.**

2. Funding:

The cells "Provincial", "Company Partners" and "Total Funding" should not be completed.

The funding contributions of

- Federal government
- The provinces, itemised by province ,
- Scientific partners,
- Other public and
- Corporate financing contributions,

are to be shown in the Funding Table.

If a project is co-financed by one or several provinces, please enter the respective amount in the space provided for the relevant province.

The column "Total" should not be completed

Please ensure that the costs are covered by the funding (check box).

Please also remember the minimum funding quotas for scientific partners and cash contributions of the company partners, and the maximum funding quota for public funding (check box). See GDA General Information, section 6."Funding"

"Costs per partner":

Total costs per partner and year should be listed in the Table "Costs per Partner." The column "Total" calculates itself automatically and should not therefore be completed.

"Costs per area":

Furthermore, total costs itemised by area and per year must be stated. Please remember that the annual totals, respectively the total costs in the tables "Costs and Funding and "Costs per Area" must be consistent (check boxes).

Calculation of hourly wage rate (optional)

This table enables you to check whether the salaries of your employees in real terms exceed the maximum eligible hourly rates (see Guidelines Section 5 "Funding").

Functions are assigned to employee categories on an exemplary basis; they can be adapted to reflect individual circumstances. In the statement of accounts you must be able to show these figures from the payroll accounts. Please remember that these are figures from 2005 and that an annual adjustment may be carried out.

In the case of higher hourly rates, only the excess amount will not be funded.

If necessary insert Table B of the application into the table (or as an additional appendix in the case of eCall).

In your financial reporting and settlement personnel costs have to be provable by payroll accounting.

Under special circumstances (that have to be well justified in section A.6.) the maximum personnel costs can be extended. Such an exception would be the standard international payment for specific expertise

When calculating personnel costs a flat rate of 20% overhead can be added. In case a higher rate of overhead is applied, the basis upon which the overhead costs were calculated must be disclosed and the calculation for overheads must be included.

When calculation hourly rates (Table "calculation of hourly wage rate") please note that the basis for calculation are 1680 working hours per annum (which equals 40 working hours per week). A diverting employment scheme has to be converted accordingly.

NOTES ON THE GRANT APPLICATON - ANNEX

Document templates for the Annex to the applications are available on the website of the Austrian Research Promotion Agency (FFG) at www.ffg.at under "Förderungen→ Strukturprogramme→ COMET".

Documents containing original signatures (such as LOC) must be attached to the original application and scanned in for the electronic version of the application. The following documents must be submitted online as a PDF file as well as in hardcopy:

Annex 1: Current excerpt from the Register of Companies of the Consortium Leader

Annex 2: Letter of Commitment (LOC) of Company Partners

The document template may be used.

Annex 3: Letter of Commitment (LOC) of Scientific Partners

The document template may be used.

If several departments or research establishments without partial legal autonomy are involved, one undersigned LOC per university together with a list of the participating institutes or research establishments is sufficient. Letter of Commitment (LOC cf. Annex must be signed by the authorised signatory of the university (head of university) as well as by the project manager, respectively the responsible head of department.

Annex 4: Declaration of Federal Provinces

Written statements of provinces

Annex 5: Letter of Commitment for funding of other public institutions (optional)

Annex 6: Area Sheet

The layout of the templates may not be altered.

Annex 7: Project Sheet

The layout of the templates may not be altered.

Annex 8: CVs and list of publications

The layout of the templates may not be altered.

A printout of the partner applications (the partner's core data) is NOT required. The data is only available online and is not part of the hard copy of the proposal.

GLOSSARY

Definitions

Additionality

Under the competition regulations of the European Union, research and development projects are only eligible for funding if they are performed in addition to the ongoing business of companies and result in an increase of a company's research performance and consequently, a company's research expenditures.

Area

It is possible but not mandatory to divide the research programmes planned within the scope of K-Projects into Areas.

A working area (Area) is defined as a methodically and thematically distinct unit in the research programme of a K-Project. In line with the general purpose of the K-Project, an Area must be structured so as to achieve scientific results and commercial utilisation in the medium term. On the one hand, an Area must be planned in sufficient detail to ensure that the main thrust of activities, the methodology used, and the main objectives can be evaluated. The area must be clearly positioned within the overarching concept (what does the Area contribute to the key objectives of the K-Project, how does it interact with other Areas). On the other hand, the necessary degree of flexibility for a medium-term research project must be maintained so that it is possible to adapt the Area to current developments during the course of implementation. Thus, an Area must define a coherent research and development programme for the medium term within the larger context of a K-Project and may not just constitute the total of a number of individual, short-term projects. Each Area is supervised by a key researcher as executive.

Bilateral research co-operations ("single firm projects")

Projects within the scope of a K-Project's research programme involving just one Company Partner. The share of such projects must be limited to a maximum of 20% of eligible costs.

Cash contributions and in-kind contributions

Cash contributions are cash payments.

In-kind contributions are contributions to financing in the form of non-cash contributions and/or human labour.

Research programme

A research programme is defined jointly by science and industry and outlines the area of activity for the entire K-project in the K-area. A research programme must relate to a clearly defined subject matter and is divided into Areas and projects.

Key Researchers

Key researchers are renowned scientists who owing to their expertise and standing will exercise a significant influence on the further development of research topics and programmes. As a rule, such Key Researchers will be recruited from among the ranks of Scientific Partners (i.e. university professors).

“Multi firm” criterion
The “multi firm" criterion stipulates the involvement of at least 3 (three) Company Partners in K Projects, and of at least 5 (five) Company Partners in K1 and K2-Centres.

Multilateral research cooperations (“multi firm projects”)
Projects within the scope of a K-Project’s research programme involving more than one Company Partner.

Projects
Projects are defined as research units to be carried out within the framework of a work-area, or as horizontal sectoral projects, generally in cooperation with several companies; volume and duration: starting from € 100.000/more than one person year. Work packages are sub-units of projects and are not detailed in the application.

Strategic research projects
In order to qualify as such, strategic research projects must be characterised by a high degree of novelty and excellence. Beyond the short-term considerations of Company Partners, they are based on a K-Project’s long-term objectives. They are established in line with the core competencies of the K-Project and are suitable for expanding these competencies within the scope of creating unique selling propositions in an international context. As a rule, such research is carried out in the interest of all or at least numerous Company Partners and takes place at a stage still far short of development and implementation. However, strategic research projects should be characterised by visible potential for innovation and be geared towards long-term utility for Company Partners.

Abbreviations

GDA[1]	Guide for drafting applications (Leitfaden zur Erstellung eines Förderungsantrags
LOC	Letter of Commitment
FFG	Austrian Research Promotion Agency (Forschungsförderungsgesellschaft)
FTE guidelines	Federal guidelines for the promotion of the commercial and technological development of research and technology
Programme document	Programme document of the COMET programme for competence centres
CP	Company Partners
SP	Scientific Partners

[1] This document is a translated version of the original German version. In cases of unclear formulation the German version is the decisive document.